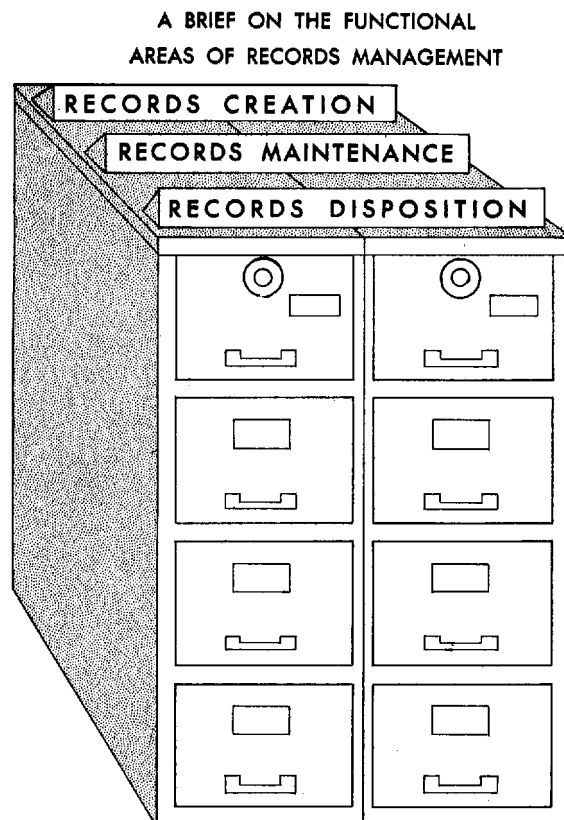


## RECORDS ADMINISTRATION PROGRAM



**1965**

RECORDS ADMINISTRATION PROGRAM GUIDE

FOREWORD

This Guide outlines the scope of the Agency Records Administration Program. It provides information and guidance to Records Administration Officers. Program objectives and the methods to accomplish them are stated in broad terms.

The Guide is written functionally; therefore the various elements of the Program are not necessarily outlined in the order in which they may be undertaken. However, the Guide may be used to familiarize Agency personnel with the areas to be covered and provide the Records Administration Officers with a basis for establishing the program and scheduling the various steps.

## RECORDS ADMINISTRATION PROGRAM GUIDE

### I. INTRODUCTION

1. Records are defined by statute, and Federal agencies are required by the Federal Records Act, Public Law 754, to establish and maintain an active and continuing Records Administration Program.
2. Records Administration is a specialized profession concerning problems and practices relating to the creation, maintenance, and use of records in the conduct of current business; their preservation as permanent records or their destruction when they are no longer required.
3. Authority for the Agency Records Administration program is regulation [redacted] The essential guides and standards for implementing the Agency Records Administration Program are contained in Handbooks and other publications distributed by the Records Administration Staff. These are listed on the following pages under each functional section of this guide. STAT
4. The overall administrative objective of a records administration program is to increase effectiveness of our operations by improving the quality of records and paperwork systems. The achievement of this objective requires control of the creation of correspondence, forms and reports. It requires decisions as to what records should be filed and how; what records should be retained and how long and which should be destroyed and when; and what records should be selected as vital to our operations in an emergency. This program will also insure that the records made and selected for retention properly document the organization, functions, policies and program accomplishments of our offices.
5. The Agency Records Administration program is administered on a decentralized basis and each component should establish their program as follows:
  - a. Determine program scope; select program elements that can be applied.
  - b. Determine staff requirements and select a Records Administration Officer.
  - c. Place program organizationally where it will be most effective.
  - d. Select Records Administration liaison officers at division levels.
  - e. Issue an internal program directive (See Sample - APPENDIX 1).
  - f. Provide for training in program elements.

RECORDS ADMINISTRATION PROGRAM GUIDE

I. INTRODUCTION (Continued)

6. The maintenance of a continuing program requires:
  - a. Reporting of program progress and status.
  - b. Continuous personal supervision and audit for adherence to prescribed policies and procedures.
  - c. Identification of qualitative and quantitative factors to measure program effectiveness.

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II. REPORTS MANAGEMENT

1. Definition - A report is recorded data or information transmitted for use in evaluating performance, controlling operations, determining policy, or preparing other reports.
2. Objectives
  - a. Eliminate and prevent unnecessary or duplicate reporting.
  - b. Insure that instructions, forms and procedures for necessary reports are clear and complete.
  - c. Insure that required reports provide adequate data and that realistic reporting intervals are established.
  - d. Provide a central reference point for information on reports.
3. Method of Accomplishment
  - a. Conduct a reports inventory and establish reference files.
  - b. Establish controls for the clearance of reporting requirements.
  - c. Review and analyze all new reporting requirements.
  - d. Analyze reports to insure that they are prepared efficiently.
  - e. Conduct surveys to determine the need for reports.
4. Guides and Standards
  - a. Operating an Area Reports Management Program.
  - b. Introduction to Reports Management.

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### III. FORMS MANAGEMENT

1. Definition - A form is any document including letters, postcards, and memorandums, printed or otherwise reproduced with space for filling in information, descriptive material, or addresses.
2. Objectives
  - a. Insure the need for each existing form and each proposed form.
  - b. Reduce the number of forms through consolidation and by eliminating obsolete ones.
  - c. Simplify and improve essential forms.
  - d. Distribute forms economically.
  - e. Devise procedures for forms use to provide maximum efficiency.
3. Method of Accomplishment
  - a. Conduct forms inventory and establish reference files.
  - b. Establish controls for the clearance of new and revised forms.
  - c. Review and analyze requirements for forms and related procedures.
  - d. Conduct surveys to determine the need for each form.
4. Guides and Standards
  - a. Guide for the Administration of Forms Management.
  - b. Forms Analysis Handbook.
  - c. Forms Design Handbook.
  - d. Supply Catalog - Forms.
  - e. Forms Management Handbook.

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IV. CORRESPONDENCE MANAGEMENT

1. Definition - Correspondence is a generic term including letters, form letters, telegrams, memorandums, endorsements, summary sheets, postal cards, routing slips, and other written communications.
2. Objectives
  - a. Simplify and speed up the preparation and handling of correspondence.
  - b. Improve the quality of correspondence.
  - c. Enable faster training and increased utilization of personnel.
  - d. Create better public relations.
3. Method of Accomplishment
  - a. Conduct surveys to determine the types and volume of correspondence prepared.
  - b. Review correspondence practices continuously.
  - c. Develop and maintain uniform correspondence procedures.
  - d. Develop and use pattern paragraphs, guide letters and form letters.
  - e. Review requirements to prevent non-essential copies.
4. Guides and Standards
  - a. Correspondence Handbook.
  - b. Correspondence Management - The Answer to Cutting Correspondence Costs.
  - c. Form Letters Handbook.
  - d. Plain Letters Handbook.
  - e. Guide Letters Handbook.
  - f. Correspondence Manual - U. S. Government.



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V. MAIL MANAGEMENT

1. Definition - Mail consists of letters, telecommunications, memorandums, post cards, packages, publications, and other communications for distribution or dispatch.
2. Objectives
  - a. The prompt and systematic flow of mail from originators to action or information addresses.
  - b. Insure that action is accomplished within established time limits.
  - c. Provide for receipt and control of classified mail.
3. Method of Accomplishment
  - a. Conduct surveys to determine the types, volume and procedures.
  - b. Recommend effective procedures, forms, and modern equipment.
  - c. Install new methods and train personnel.
4. Guides and Standards

Instructions for Use of Courier Receipts and Log Record.

## RECORDS ADMINISTRATION PROGRAM GUIDE

### VI. FILES MANAGEMENT

1. Definition - A file is basically a folder of papers or other recording media regardless of physical form or characteristics maintained in filing equipment and occupying office or storage space.
2. Objectives
  - a. Develop a standard classification plan for the filing of administrative records.
  - b. Develop filing standards for the orderly maintenance and preservation of current records.
  - c. Provide indexes to facilitate reference to primary records.
  - d. Develop specialized systems for operational records.
3. Method of Accomplishment
  - a. Analyze the content of records to determine primary, secondary, and tertiary subject categories.
  - b. Apply the Subject-Numeric System of the Agency Filing Manual to administrative records.
  - c. Determine the arrangement of folders and guides.
  - d. Install system, prepare operating instructions, develop forms and train personnel.
  - e. Obtain necessary equipment and supplies.
  - f. Determine the extent that machine methods and specialized record keeping systems and equipment can be used.
4. Guides and Standards
  - a. Handbook for Subject Filing.
  - b. Checklist for Converting to a Subject-Numeric Filing System.
  - c. How to Improve Your Files.
  - d. A Guide to Filing of Papers.
  - e. Files Operations Handbook.

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VII. EQUIPMENT AND SUPPLIES MANAGEMENT

1. Definition - A program for managing file cabinets, shelf files, visible files, mechanized files, file folders, file guides, and similar equipment and supplies used in maintaining records or processing mail.
2. Objectives
  - a. Standardize filing equipment and filing supplies.
  - b. Provide equipment that conserves file space.
  - c. Provide economical and efficient equipment and supplies.
3. Method of Accomplishment
  - a. Establish measures to insure that filing equipment and supplies conform to prescribed standards.
  - b. Maintain inventory of all filing equipment.
  - c. Approve all requisitions for equipment and supplies.
  - d. Return excess equipment and supplies to stock for re-use.
  - e. Determine availability of excess equipment before ordering new.
4. Guides and Standards
  - a. Handbook - Standardization and Use of Filing Equipment and Supplies.
  - b. Brochure - Overnight Storage Desk Trays.

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VIII. RECORDS DISPOSITION MANAGEMENT

1. Definition - Records disposition is an organized program that provides for the systematic removal of inactive records from office space and their preservation or elimination in accordance with prescribed policies, procedures and legal authorities.
2. Objectives
  - a. The economical and systematic preservation and disposition of records according to Federal statutes and regulations and Agency policies.
  - b. Release office space and filing equipment no longer needed.
3. Method of Accomplishment
  - a. Conduct records disposition survey; obtain background information regarding the organizational structure, functions, and missions, and the flow of work within and between offices concerned.
  - b. Conduct the inventory and record on Form 138, Survey Work Sheet, data needed to determine retention and disposal dates.
  - c. Evaluate records for administrative, legal, fiscal, and historical values.
  - d. Develop records control schedules to provide for the disposition of record and nonrecord material by either permanent preservation, microfilming, destruction, or transfer to Archives and Records Center.
  - e. Obtain approval of schedules from operating officials and the Agency Records Administration Staff.
  - f. Maintain records control schedules up to date to reflect changes in organization.
  - g. Conduct periodic follow-up to insure that the disposition of records is being effected in accordance with schedules.
  - h. Distribute records control schedules to operating offices.
4. Guides and Standards
  - a. Guide for Preparation of Records Control Schedules.
  - b. Handbook - Applying Records Control Schedules.

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IX. VITAL RECORDS MANAGEMENT

1. Definition - Vital Records Management is a systematic method of selecting, protecting and making available in an emergency records essential to operation, records to protect the rights of individuals, and their employers, and records essential to reconstruct normal functions after a loss or disaster.
2. Objectives
  - a. The secure transfer, storage, protection and availability of records essential to continuing the organization and which in the event of destruction would constitute an irreplaceable loss.
3. Method of Accomplishment
  - a. Identify Vital Records.
  - b. Develop Vital Records Deposit Schedules.
  - c. Transfer Vital Records to the Repository in accordance with the Schedule.
4. Guides and Standards
  - a. Checklist for Reviewing Vital Records.
  - b. Handbook - Protecting Vital Operating Records.

RECORDS ADMINISTRATION PROGRAM GUIDE

X. ARCHIVES AND RECORDS CENTER MANAGEMENT

1. Definition - A special facility to house the inactive and the archival records which are not needed in offices for current operations but which must be kept for legal, administrative, or historical values.
2. Objectives
  - a. Secure and efficient storage.
  - b. Prompt reference service.
  - c. Proper maintenance and disposition according to Records Control Schedules.
3. Method of Accomplishment
  - a. Receive records in accordance with Records Control Schedules.
  - b. Store records in special equipment efficiently.
  - c. Provide special locator and control records.
  - d. Carry out retention and disposal of records according to Records Control Schedules.
  - e. Return records to operating offices when properly authorized.
  - f. Provide reference service to authorized persons.
4. Guides and Standards
  - a. Guide for Records Retirement.
  - b. Federal Records Centers.
  - c. Your Records Center.

SAMPLE DIRECTIVE

RECORDS

1. RECORDS ADMINISTRATION

STATINTL

In accordance with [ ] there is hereby established a Records Administration Program.

This program will consist of the elements listed and described below:

- a. Reports Administration - The analysis, improvement, and control of administrative reporting.
- b. Correspondence Administration - The application of improved standards and procedures for preparing and handling correspondence.
- c. Forms Administration - The analysis, design, and control of forms.
- d. Records Maintenance - The establishment of standard procedures, systems, equipment, and supplies for records maintenance.
- e. Records Disposition - The economical and systematic disposition of Office records including their preservation, retention, transfer, protection, and disposal according to approved schedule.
- f. Vital Records Administration - The timely selection of vital records and their prompt transfer to and secure maintenance in a designated Agency repository. Vital records are records which are essential to the continued operation of the Agency in an emergency, and which, if destroyed, would constitute a serious or irreplaceable loss.

2. POLICY

STATINTL

The office Records Administration Program will be administered by the [ ] Records Administration Officer and governed by the policies of [ ]

3. RESPONSIBILITIES

- a. The [ ] Records Administration Officer will make the inventories, surveys and audits required to establish and maintain the program and he is responsible for submitting reports to the Assistant Director covering program activities and progress.
- b. The [ ] Records Administration Officer will maintain liaison with the CIA Records Administration Officer and with other offices of the Agency as required.
- c. Chiefs of Divisions shall appoint a records liaison officer who will work with the [ ] Records Administration Officer in establishing and maintaining the Records Administration Program.

SAMPLE OFFICE MEMO OF APPOINTMENT OF A RECORDS ADMINISTRATION OFFICER

TO : Chiefs Divisions and Staffs

DATE:

FROM : Assistant Director, \_\_\_\_\_

SUBJECT: Appointment of a Records Administration Officer

Effective \_\_\_\_\_, James R. James is appointed Records Administration Officer. He is responsible for developing and maintaining a records administration program for this Office as described in \_\_\_\_\_.

Your co-operation with Mr. James in establishing this program is requested.

ASSISTANT DIRECTOR